

Responsible Office: Office of Small and Disadvantaged Business Utilization (Code K)  
**Subject:** Advocacy



## **Office of Small and Disadvantaged Business Utilization (HQ/Code K)**

### **Office Work Instruction**

## **Advocacy**

Approved by: Original signed by Ralph Thomas, III 5/10/00  
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Associate Administrator for  
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## DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		2/4/00	
Revision	A	5/10/00	Revisions made based on systemic analysis of ISO 9001 Registrar comments provided during February 2000 ISO 9001 Registrar precertification audit of NASA Headquarters Functional Offices.

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## 1. Purpose

The purpose of this procedure is to document the process by which the Office of Small and Disadvantaged Business Utilization (OSDBU) exercises its advocacy responsibilities to promote the utilization of all categories of small businesses, as defined by the applicable federal laws and regulations, to the maximum extent possible.

## 2. Scope and Applicability

2.1 This HOWI covers the activities performed in the OSDBU (Code K) to implement and evaluate the process used to advocate for the maximized utilization of small businesses into NASA's programs and missions. It describes how the OSDBU uses courses, conflict resolution techniques, presentations, speeches and briefings to meet this objective.

2.2 This OWI applies to the Code K organization.

## 3. Definitions

- 3.1 AA. Associate Administrator
- 3.2 AO. Action Officer
- 3.3 Code K. Office of Small and Disadvantaged Business Utilization (OSDBU)
- 3.4 Conflict Resolution. Code K helps to resolve problems involving NASA, NASA contractors, and businesses that deal with NASA contracts, when one of the parties is a small or disadvantaged business.
- 3.5 FAR. Federal Acquisition Regulations
- 3.6 FRC. Federal Records Center
- 3.7 HBCU/OMEI. Historically Black Colleges and Universities/Other Minority Educational Institutions
- 3.8 NARA. National Archives and Records Administration
- 3.9 NFS. NASA FAR Supplement
- 3.10 NPD. NASA Policy Directive
- 3.11 NPG. NASA Procedures and Guidelines

## 4. References

- 4.1 Advocacy Presentation Assessment Form (OSDBU Form 110), located at: Code\_k on 'hqdata2' (U:)
- 4.2 Evaluation Summary Form (OSDBU Form 111), located at: Code\_k on 'hqdata2' (U:)
- 4.3 Meeting Strategy Form (OSDBU Form 127), located at: Code\_k on 'hqdata2' (U:)
- 4.4 NASA Strategic Management Handbook (NPG 1000.2)
- 4.5 NASA Strategic Plan (NPD 1000.1)
- 4.6 Public Law 95-507 (Section 21), October 26, 1978, as amended
- 4.7 Routing/Closeout Form (OSDBU Form 22), located at: Code\_k on 'hqdata2' (U:)

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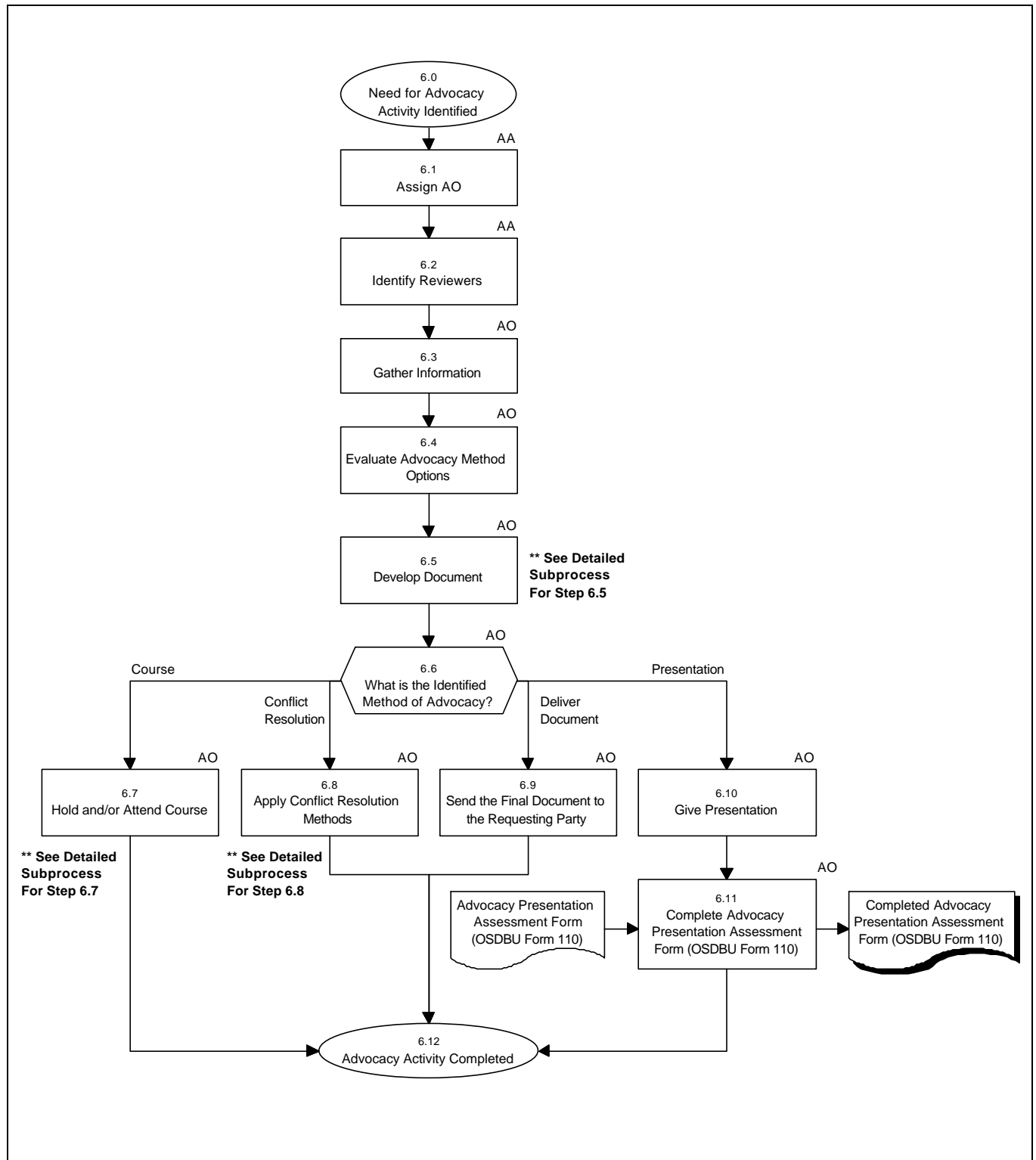
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4.8                      Small Business Act of 1958 (Section 15), as amended

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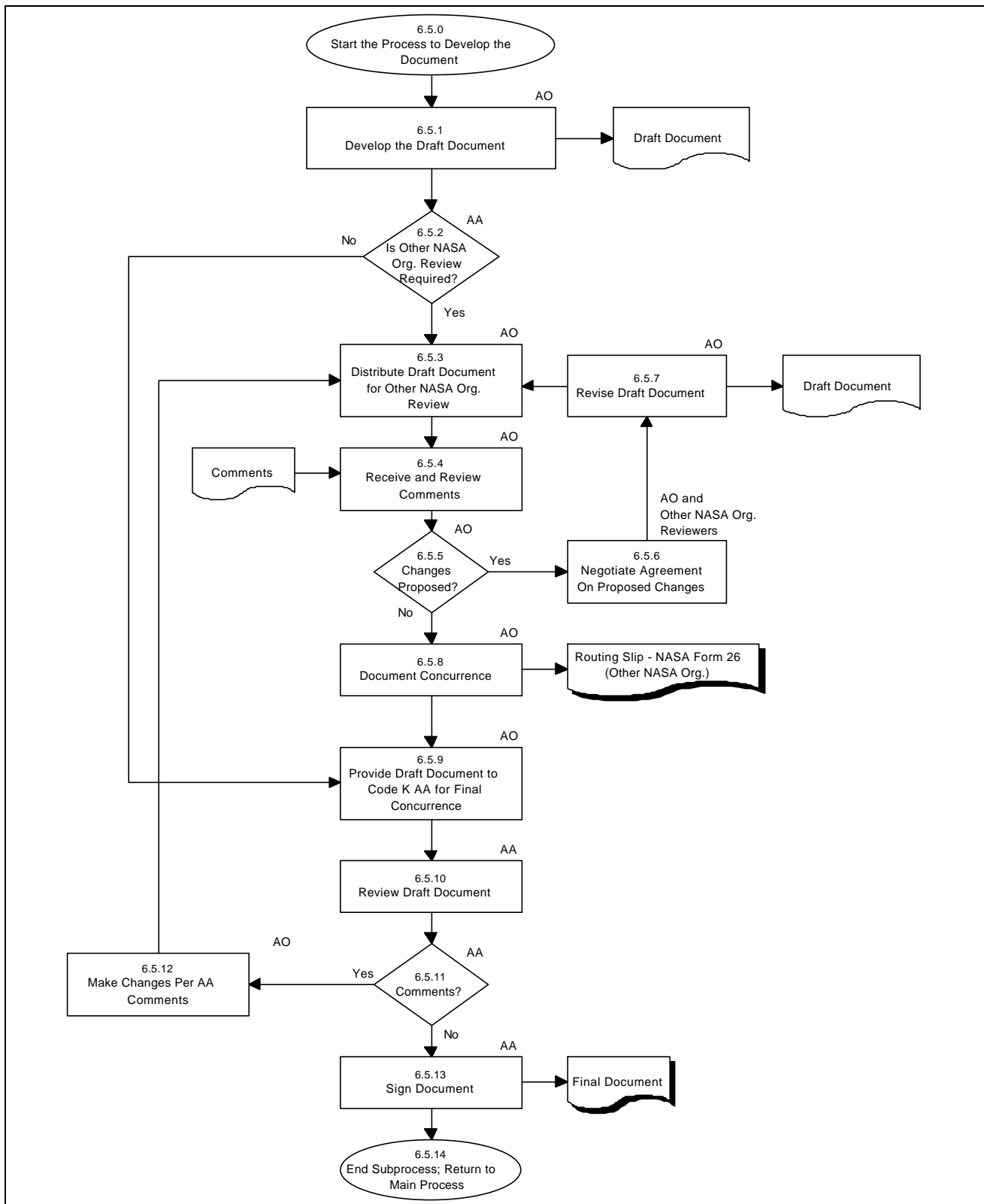
## 5. Flowchart



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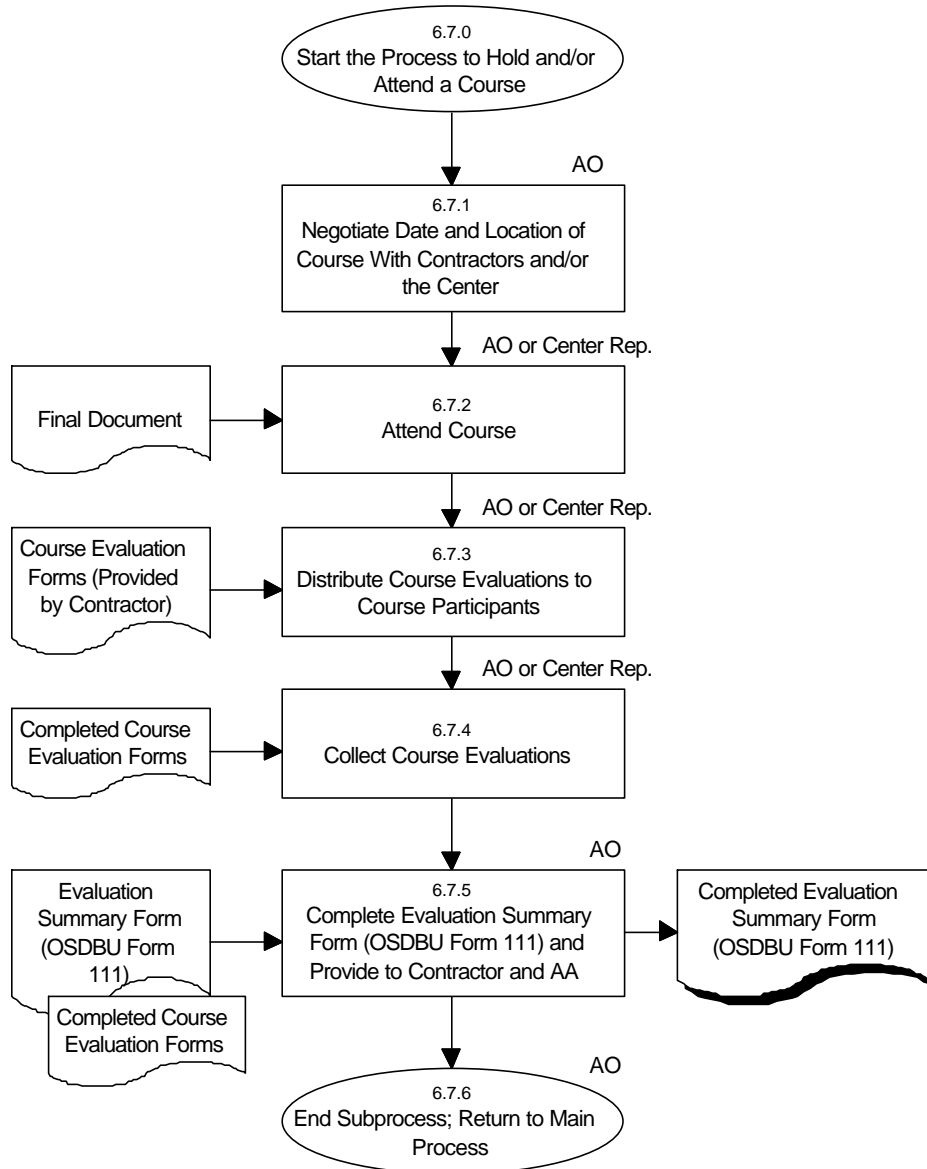
## Flowchart – continued



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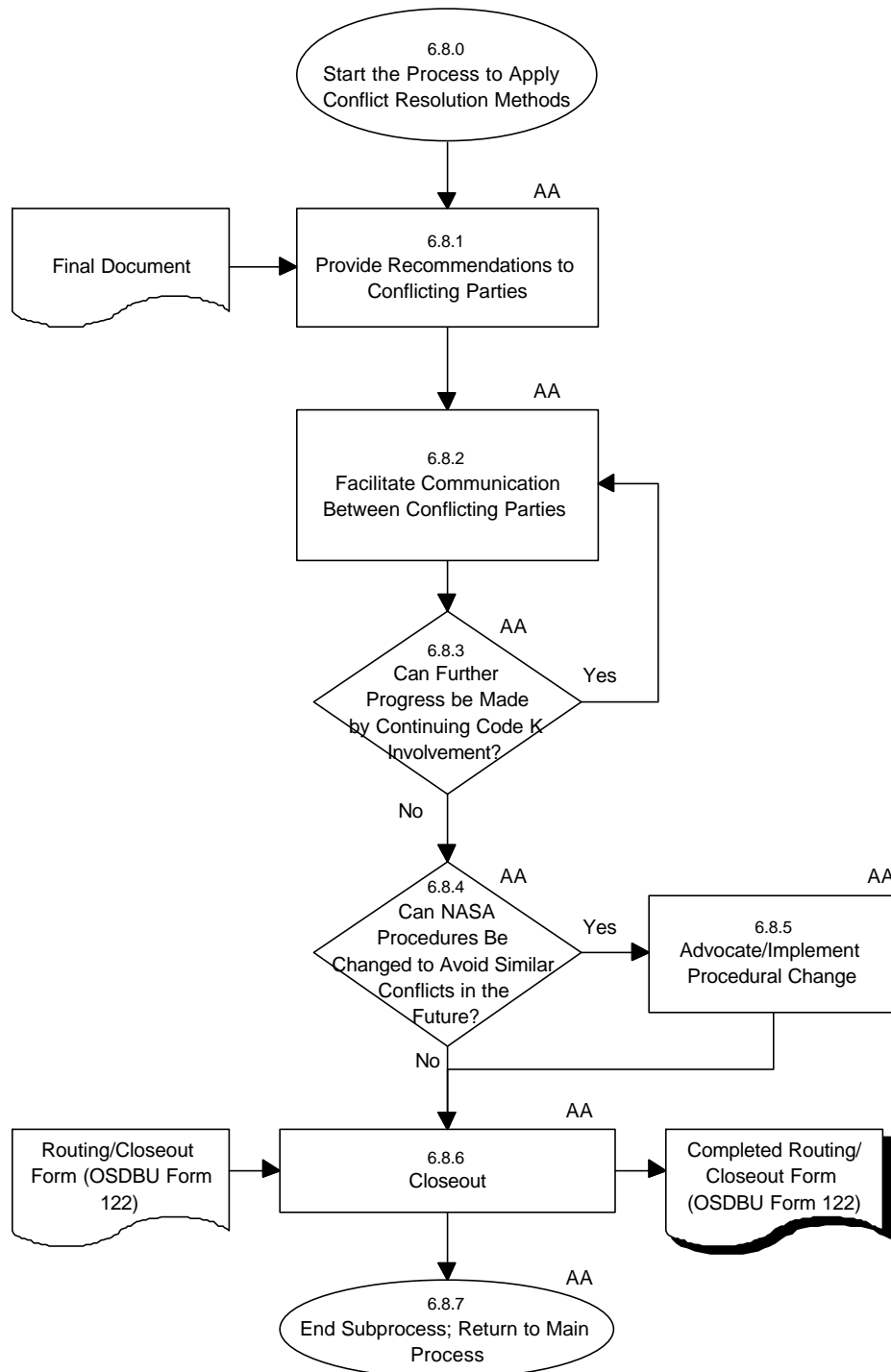
## Flowchart – continued



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## Flowchart – continued





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## 6. Procedure

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.0	AA	Identify need for the advocacy activity, which may be self-identified or brought to the attention of the AA by his staff; other NASA personnel; external stakeholders; or outside sources such as newspaper articles, Congressional testimony, or trade association presentations.
6.1	AA	Assign a cognizant AO from the Code K staff to conduct the activity. This assignment is made based on area of program responsibility and availability. The AA may assume the AO role if the activity involves a policy issue and/or is identified as a high priority action (e.g. Administrator request).
6.2	AA	Identify reviewers who will be asked to review data to be collected in Step 6.3 to ensure that all options are identified. Reviewers are identified based on topic and specifics of advocacy activity. Reviewers are subject matter experts at NASA Headquarters or Centers.
6.3	AO	Gather information responsive to the advocacy need identified in Step 6.1.
6.4	AO	Evaluate advocacy method options to determine the best course of action. This decision is made based on the AO's professional judgment and experience.
6.5	AO	Develop document. The document could be the development/revision of a course, a document or letter related to conflict resolution, or a presentation.
6.5.0	AO	Start the process to develop the document.
6.5.1	AO	Develop the draft document based on information gathered. Coordinate the document with cognizant Code K staff and the AA.
6.5.2	AA	If other NASA organization review is required (as identified in Step 6.2), go to Step 6.6.3. If no other NASA organization review is required, go to Step 6.6.9.
6.5.3	AO	Distribute draft document (hard copy) with routing slip to other NASA organizations for review and comment. Distribute to the reviewers identified in Step 6.2.
6.5.4	AO	Receive and review draft comments to determine if changes to the draft are proposed.
6.5.5	AO	If changes to the draft are proposed, go to Step 6.6.6. If no changes are proposed, go to Step 6.6.8.
6.5.6	AO and Other NASA Org. Reviewers	Negotiate agreement on proposed changes. Obtain consensus through discussion with Other NASA Org. Reviewers. If agreement can not be reached, the AA or designee of the disagreeing Other NASA Org. will be consulted for resolution. Code K AA has final authority.
6.5.7	AO	Revise draft document to include the agreed-upon changes.
6.5.8	AO	Document concurrences using the routing slip (NASA Form 26), which is distributed to each reviewer.
6.5.9	AO	Provide draft document to Code K AA for final concurrence.
6.5.10	AA	Review the draft document for content and format. Proposed changes are noted on the hardcopy.
6.5.11	AA	If there are comments, go to Step 6.6.12. If no there are no comments, go to Step 6.16.
6.5.12	AO	Make changes per AA comments.

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.5.13	AA	Sign the document.
6.5.14	AO	End the subprocess. Return to the main process.
6.6	AO	If the advocacy method identified in Step 6.4 is to hold and/or attend a course, go to Step 6.7. If the method identified is to apply conflict resolution methods, go to Step 6.8. If the method identified is to send the document to the requesting party, go to Step 6.9. If the method identified is to give a presentation, go to Step 6.10.
6.7	AO	Hold and/or attend course.
6.7.0	AO	Start the process to hold and/or attend a course.
6.7.1	AO	Negotiate the date and location of the course with contractor and/or the Center.
6.7.2	AO or Center Rep.	AO attends the course, if Code K presence is required. If Code K presence is not required, a Center Representative is assigned by the AA to attend.
6.7.3	AO or Center Rep.	Distribute course evaluation forms to course participants. The contractor, who is presenting the course, provides the course evaluation forms.
6.7.4	AO or Center Rep.	Collect course evaluation forms.
6.7.5	AO	Complete Evaluation Summary Form (OSDBU Form 111) and provide to the contractor and the AA.
6.7.6	AO	End the subprocess. Return to the main process.
6.8	AA	Apply conflict resolution methods.
6.8.0	AO	Start the process to apply conflict resolution methods.
6.8.1	AA	Provide conflict-resolution recommendations to conflicting parties. These recommendations are summarized in the Final Document.
6.8.2	AA	Facilitate communication between conflicting parties by bringing the parties together and acting as a mediator.
6.8.3	AA	If further progress can be made by continuing Code K involvement, go to Step 6.8.2. This decision is made based on the AA's professional judgment, experience, and knowledge of programs being discussed. If no further progress can be made by continuing Code K involvement, go to Step 6.8.4.
6.8.4	AA	If NASA policies and procedures can be changed to avoid similar conflicts in the future, go to Step 6.8.5. This decision is made based on the AA's professional judgment; experience; knowledge of programs being discussed; and consultations with NASA Headquarters Code and/or program Officials in Charge affected by the issue discussed, affecting the issue discussed or providing subject-matter expertise (e.g., Code G for legally-related questions, Code H for procurement-related questions, Code L for questions involving Congressional relations, Code H for procurement-related questions). If NASA policies and procedures cannot be changed to avoid similar conflicts in the future, go to Step 6.8.6
6.8.5	AA	Advocate/implement procedural and policy changes, by proposing changes to NPDs, NPGs, or the NFS.
6.8.6	AA	Closeout activity by completing Routing/Closeout Form (OSDBU Form 122).
6.8.7	AA	End the subprocess. Return to the main process.

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<u>Step</u>	<u>Actionee</u>	<u>Action</u>
6.9	AO	Send the Final Document to the requesting party.
6.10	AO	Give presentation.
6.11	AO	Complete and file Advocacy Presentation Assessment Form (OSDBU Form 110) and forward a copy to the Code K AA.
6.12	AO	Advocacy activity completed.

## 7. Quality Records

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Record Media: Electronic or Hard Copy</u>	<u>NPG 1441.1 Schedule and Item Number</u>	<u>Retention/Disposition</u>
Routing Slip – NASA Form 26 (Other NASA Org.)	Code K	Code K Files	Hard copy	Schedule 1, Item 25	Remove from related records and destroy or delete when work is completed or when no longer needed for operating purposes.
Final Document	Code K	Code K Files	Hardcopy	Schedule 1, Item 22	Retire to FRC when 5 years old in 5 year blocks. Transfer to NARA when 10 years old.
Completed Evaluation Summary Form (OSDBU Form 111)	Code K	Code K Files	Hardcopy	Schedule 1, Item 26	Destroy when two years old.
Completed Routing/Closeout Form (OSDBU Form 122)	Code K	Code K Files	Hardcopy	Schedule 1, Item 26	Destroy when two years old.
Completed Advocacy Presentation Assessment Form (OSDBU Form 110)	Code K	Code K Files	Hardcopy	Schedule 1, Item 26	Destroy when two years old.